DMS 2.0 Document Review & Request Template

This document request will provide a list of documents OSEP will need to complete our review and can be found on each of OSEP's posted monitoring protocols. We have indicated which documents we believe we have on file below and ask that the State to please verify if this document or resource is still current. Most documents will be related to policies and procedures during Phase 1. In addition, OSEP does not expect any documents with personally identifiable information (PII), during Phase 1.

We would expect the State to be prepared to submit all documents requested to support our DMS 2.0 Monitoring activities by the END of the identified "document request" month. In some instances, OSEP will need some components earlier in the document request month, based on when that particular protocol would be reviewed in subsequent months.

**Link to State Website:**

# Integrated Monitoring Documents

|  | **Document Identified - Y/N?** | **If yes, the name of the document** | **If no, list document needed** |
| --- | --- | --- | --- |
| State’s risk assessment |  |  |  |
| State’s written policies and procedures on monitoring |  |  |  |
| State’s documentation of procedures for identifying noncompliance, including at a minimum: |  |  |  |
| * + methods for determining whether noncompliance has occurred, |  |  |  |
| * + steps to identify noncompliance through the State’s monitoring system, |  |  |  |
| * + timelines for making a written finding of noncompliance and notifying the affected public agency of that finding. |  |  |  |
| Examples of State monitoring protocols |  |  |  |

# Sustaining Compliance & Improvement Documents

|  | **Document Identified - Y/N?** | **If yes, the name of the document** | **If no, list document needed** |
| --- | --- | --- | --- |
| Guidance documents provided by the State and/or made available to the public |  |  |  |
| State’s written policies and procedures on monitoring |  |  |  |
| Documentation of correction procedures, including at a minimum: |  |  |  |
| * + methods for determining correction of noncompliance, |  |  |  |
| * + documentation of correction, |  |  |  |
| * + sanctions for outstanding areas of noncompliance not corrected within one year of the State’s identification of the noncompliance |  |  |  |
| * + Incentives used to improve local educational agency (LEA)/early intervention service (EIS) provider compliance and results |  |  |  |
| Procedures used to identify and assess improved results |  |  |  |

# Data Documents

|  | **Document Identified - Y/N?** | **If yes, the name of the document** | **If no, list document needed** |
| --- | --- | --- | --- |
| **Reference Documents  (OSEP documents already available)** |  |  |  |
| Section 618 Data Collection Requirements |  |  |  |
| Section 618 Data Quality Reports |  |  |  |
| Section 616 State Performance Plan/Annual Performance Report (SPP/APR) Measurement Table/Reporting Requirements |  |  |  |
| RDA Matrix |  |  |  |
| State Data Displays |  |  |  |
| **Publicly Available Documents to Review  (not exhaustive):** |  |  |  |
| Section 616 SPP/APR |  |  |  |
| Local educational agency (LEA)/early intervention service (EIS) provider |  |  |  |
| **OSEP Required Documents to Review:** |  |  |  |
| Data user guide/manual (SEA and/or local program) |  |  |  |
| Business rules documentation |  |  |  |
| Standardized training materials (SEA and/or local program) |  |  |  |
| Data monitoring protocols (SEA and/or local program) |  |  |  |
| Data collection/reporting calendar |  |  |  |

# Dispute Resolution Documents

|  | **Document Identified - Y/N?** | **If yes, the name of the document** | **If no, list document needed** |
| --- | --- | --- | --- |
| **Mediation** |  |  |  |
| The State’s State Performance Plan/Annual Performance Report (SPP/APR) submission for Indicators B-16 (Part B) or C-10 (Part C) |  |  |  |
| Prior written notice and Procedural safeguards notice:  [*34 C.F.R. §§ 300.503*](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-E) and [*300.504*](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-300/subpart-E/section-300.504) for Part B and [*34 C.F.R. §§ 303.404*](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-E/subject-group-ECFRedb3159cd30cd58/section-303.404) and [*303.421*](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-E/subject-group-ECFR0b42dee73576d72/section-303.421) for Part C |  |  |  |
| Policies and procedures related to mediation |  |  |  |
| Any supplemental guides or Q & A Documents the State has developed to provide guidance to its stakeholders related to dispute resolution activities |  |  |  |
| Any forms or instructions the State provides to parents and local educational agencies (LEAs)/early intervention service (EIS) providers to request mediation |  |  |  |
| Description of how the mediation system is established in the State |  |  |  |
| Evidence of training provided to mediators |  |  |  |
| **State Complaints:** |  |  |  |
| Procedural safeguards notice |  |  |  |
| Model forms for State complaints, if available, may be found on the State’s website |  |  |  |
| Policies and procedures related to the resolution of State complaints |  |  |  |
| If available on the State website, State Education Agency (SEA)/Lead Agency (LA) State complaint decisions |  |  |  |
| Any supplemental guides or Q & A Documents the State has developed to provide guidance to its stakeholders related to *the differences in the State complaint and due process procedures* |  |  |  |
| Description of how the State complaint system is established in the State |  |  |  |
| The State’s IDEA Section 618 dispute resolution data (at least 3 years’ worth of data) |  |  |  |
| **Due Process Complaints:** |  |  |  |
| Procedural safeguards notice |  |  |  |
| Model forms for due process complaints, if available, may be found on the State’s website |  |  |  |
| Policies and procedures related to due process |  |  |  |
| If available on the State website, State educational agency (SEA)/Lead Agency (LA) due process hearing decisions |  |  |  |
| Any supplemental guides or Q & A Documents the State has developed to provide guidance to its stakeholders related to dispute resolution activities |  |  |  |
| Evidence of training provided to hearing officers and mediators |  |  |  |
| Description of how the due process system is established in the State |  |  |  |
| * + One-tier system:  Hearing is conducted by the SEA/LA. |  |  |  |
| * + Two-tier system:  Responsibility for conducting the hearing rests with the local educational agency (LEA)/early intervention service (EIS) providers. The aggrieved party has the right to appeal the LEA's/EIS provider's decision to the SEA/LA where there is a right of appeal to the State. |  |  |  |
| Any memorandums of agreement or contracts with the entity responsible for conducting the hearings |  |  |  |
| The State’s IDEA section 618 dispute resolution data (for a minimum of 3 years’ data) |  |  |  |